

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: Kochilla et al.
Serial No.: 10/731,648
Filed: 12/09/03
For: APPARATUS AND METHOD FOR TREATMENT OF METAL SURFACES BY INORGANIC ELECTROPHORETIC PASSIVATION
Art Unit: Not yet known
Examiner: Not yet known



INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, pending applications, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed, except for (a) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120, and (b) any U.S. patent or U.S. patent application publication if the present application was filed after June 30, 2003 or entered the national stage under 35 USC § 371 after June 30, 2003:

Serial No.: _____
Filing Date: _____

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ____ A copy of each English language version of a search report (or EPO Search Report) indicating the degree of relevance found by the foreign office of each document being submitted from the search report, is being submitted herewith or has previously been submitted.
- (b) ____ Attached is a "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) ☒ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ____ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988 for consideration of this Statement.
- (c) ____ Before the mailing date of a first Office Action on the merits after a first or second submission after final rejection under 37 C.F.R. 1.129(a).

- (d) ____ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.
- (1) ____ The required certification is given below, or
- (2) ____ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or
- (3) ____ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988
- (e) ____ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.
- (1) ____ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p), or
- (2) ____ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988.

4. Certification (if applicable)

- (a) ____ The undersigned hereby certifies that each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
- (b) ____ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the undersigned's knowledge after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 18-0988.

Respectfully submitted,

RENNER, OTTO, BOISSELLE & SKLAR, LLP

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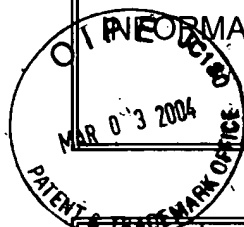
CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: 02/27/04

Janet Farr
Janet Farr

Form PTO-1449 (Modified)	Atty Docket No. ATOTP0107USA	Serial No. 10/731,648
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	Applicant: Kochilla et al.	
	Filing Date 12/09/03	Group



U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date (MM/YYYY)	Name	Class	Subclass	Filing Date if Appropriate
	5,590,383	12/1996	Sekhar et al.	419	2	
	5,709,790	01/1998	Shafirian et al.	205	437	
	5,714,093	02/1998	Heimann et al.	252	389.62	
	5,753,097	05/1998	Sharifian et al.	205	437	
	5,833,832	11/1998	Shay et al.	205	413	
	5,853,555	12/1998	Sharifian et al.	204	537	
	5,871,668	02/1999	Heimann et al.	252	389.62	
	5,883,762	03/1999	Calhoun et al.	360	113	
	5,928,796	07/1999	Heimann et al.	428	469	
	5,938,976	08/1999	Heimann et al.	252	389.62	
	5,974,779	11/1999	Orscheln et al.	59	84	
	6,010,984	01/2000	Heimann et al.	508	136	
	6,010,985	01/2000	Heimann et al.	508	136	
	6,015,855	01/2000	Dalton	524	442	
	6,017,857	01/2000	Heimann et al.	508	136	
	6,033,495	03/2000	McGowan et al.	148	279	
	6,077,605	06/2000	McGowan et al.	428	389	
	6,080,334	07/2000	Heimann et al.	252	389.62	
	6,106,741	08/2000	Heimann et al.	252	389.3	
	6,143,420	11/2000	Heimann et al.	428	453	
	6,149,794	11/2000	Heimann et al.	205	316	
	6,153,080	11/2000	Heimann et al.	205	199	
	6,165,257	12/2000	Heimann et al.	106	14.21	
	6,190,779 B1	02/2001	Heimann et al.	428	469	
	6,258,243 B1	07/2001	Heimann et al.	205	316	

Examiner Initial	Document Number	Date (MM/YYYY)	Name	Class	Subclass	Filing Date if Appropriate
	6,281,189 B1	08/2001	Heimann et al.	510	491	
	6,309,478 B1	10/2001	McGowan et al.	148	279	
	6,316,392 B1	11/2001	Heimann et al.	508	136	
	6,322,687 B1	11/2001	Heimann et al.	205	316	
	6,331,509 B1	12/2001	Heimann et al.	508	136	
	6,386,601 B1	05/2002	Heimann et al.	292	256.73	
	6,399,021 B1	06/2002	Heimann et al.	422	7	
	6,455,100 B1	09/2002	Heimann et al.	427	104	
	6,592,738 B2	07/2003	Heimann et al.	205	109	
	6,599,643 B2	07/2003	Heimann et al.	428	623	
	6,602,394	08/2003	Hillebrand	205	246	

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date (MM/YYYY)	Country	Class	Sub-class	Translation	
						Yes	No
	98/33856	08/1998	WO				
	01/71067	09/2001	WO				
	01/96631	12/2001	WO				
	03/021009 A2	03/2003	WO				

OTHER ART

Examiner Initial	Author, Title, Date, Pertinent Pages, etc.		
	Grimshaw; "Electrochemical Reactions and Mechanisms in Organic Chemistry"; pp. 1, 2 and 6.		
	Inorganic Materials Science Laboratory Home Page; "Sol-Gel Processes"; Department of Applied Materials Science; www.ams.osakafu-u.ac.jp/lab1/home/index-e.html		
	Gillett; "Toward a Silicate-Based Molecular Nanotechnology"; Silicate-Based Molecular Nanotechnology, I; Based in part on a presentation given at the Fifth Foresight Conference on Molecular Nanotechnology, Nov. 1997, pp. 1 and 16 of 23.		
<table border="1" style="width: 100%;"> <tr> <td style="width: 50%;">EXAMINER</td> <td style="width: 50%;">DATE CONSIDERED</td> </tr> </table>		EXAMINER	DATE CONSIDERED
EXAMINER	DATE CONSIDERED		

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Information Disclosure Statement PTO-1449 (Modified)

The identification of any reference is not intended to be, and should not be understood as being, an admission that such publication, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given reference may have a later effective date than first seems apparent or the reference may have an effective date which can be antedated. The "prior art" status of any reference is a matter to be resolved during prosecution.